

## Chapter 3

## REASONS FOR PERSONNEL SECURITY INVESTIGATIONS

## Section A—Programs and Clearances

**3-1. General Information.** This chapter identifies the types of programs that require a personnel security investigation and provides the minimum investigative requirements for those programs. However, a valid need must exist before requesting an investigation for clearance, special access, or suitability.

**3-2. First-Term Enlistees—ENTNAC.** An ENTNAC is the minimum investigative requirement for all first-term enlistees. Use only a DD Form 2280, Armed Forces Fingerprint Card, with DD Form 398-2 to request an ENTNAC.

**3-3. Commissioning and Reentry After a Break in Service—NAC.** A NAC is the minimum investigative requirement for commissioning an officer and for reentry into service for any military member after a break of 1 year or more.

**3-4. Nuclear Weapons Personnel Reliability Program (PRP)—BI, DNACI, NACI, NAC, or ENTNAC:**

a. The Air Force PRP program is implemented through AFRs 35-99 and 40-925. These regulations provide guidance on the standard of individual reliability for personnel performing duties associated with nuclear weapons and nuclear components.

b. The minimum investigative requirement for assignment to a critical PRP position is a BI current within 5 years. A NAC (ENTNAC completed on first-term enlistees) current within 5 years is the minimum investigative requirement for a PRP controlled position.

**3-5. North Atlantic Treaty Organization (NATO)—BI, DNACI, or NAC.** When an individual is assigned to a NATO billet requiring access to Cosmic Top Secret or Cosmic Top Secret ATOMAL, a BI scoped to cover the last 10 years of a subject's life is required for all US military and civilian personnel within 5 years prior to assignment to NATO. A NAC completed within the past 5 years is required for assignment to NATO positions not requiring access to Cosmic Top Secret.

**3-6. Nonappropriated Funds (NAF) Employees—BI, DNACI, or NAC.** Each NAF employee

in a position of trust must have a favorably completed NAC current within 12 months prior to employment or a favorable prior personnel security investigation with no break in federal service or employment greater than 12 months. Examples of NAF positions of trust include: child care center employees; employees handling large sums of money; and employees working in areas containing valuable and pilferable material or equipment. Normally, only a NAC is required for NAF personnel; however, those NAF personnel whose recurring duties require access to Top Secret information need a BI for a Top Secret clearance. (Refer to AFR 40-7, volume I, for guidance concerning the Nonappropriated Funds Employee Program.)

NOTE: Active duty Air Force personnel may fill a part-time NAF position with a favorable ENTNAC.

**3-7. Customs Inspectors—NAC.** DOD employees appointed as customs inspectors, under waivers approved according to DOD Regulation 5030.49-R, Customs Inspection Act, require a valid NAC completed within the past 5 years. This requirement does not apply to subject's of favorably completed NACIs, or higher investigations. A valid ENTNAC current within 5 years suffices for DOD military personnel.

**3-8. Education and Orientation of Personnel—BI, DNACI, NACI, or NAC.** US citizens selected for duties in connection with programs involving the education and orientation of military personnel require a favorable NAC or NACI before assignment. This does not include teachers or administrators associated with university extension courses conducted on Air Force installations in the United States or overseas. Foreign national personnel from a designated country require a BI when involved with the education and orientation of military personnel. Foreign educators are employed in noncritical sensitive positions.

**3-9. DOD Contractor Personnel Requiring Unescorted Entry To Restricted Areas or Access To Sensitive Information and Equipment—NAC:**

a. Normally, sensitive information or equipment is limited to contractor employees authorized access to classified information or

5-9  
4

AFR 205-32 26 June 1987

25

unescorted entry into restricted areas. When unescorted entry does not involve access to classified information, but could result in sabotage or serious disruption of a critical national security activity, such entry must be necessary and the concerned contractor employee determined trustworthy. In such cases, at least a NAC must be completed and favorably adjudicated before authorizing unescorted access.

NOTE: A favorably completed ENTNAC meets the investigative requirements for prior military members who have been honorably discharged less than 1 year and are DOD contractor personnel.

b. Organizational commander must identify the situation and provide justification to request NACs on contractor employees requiring unescorted entry to Air Force restricted areas. Base authorized requesters of investigations must obtain approval to request NACs for situations meeting the unescorted access provisions outlined in a above through command channels from HQ AFOSP/SPI, Kirtland AFB NM 87117-6001. Forward justification detailing the national security criticality of the restricted area information of equipment involved with each request. Include details concerning the susceptibility to sabotage, loss or compromise, and the reasons why escorted entry would not better serve national security.

c. MAJCOMs must approve all denials or withdrawals of unescorted entry for contractor employees. Decisions to deny or withdraw access must be fully supported by the facts in the case. Individuals must be informed of allegations against them (unless precluded by security considerations) and given the opportunity for an informal hearing. The informal hearing should allow the individual an opportunity to refute reported allegations or to offer mitigating circumstances. The installation commander sends all appeals of denials or withdrawals to the MAJCOM commander, or his or her designee.

**3-10. Legal Counsel Representing Air Force or Air Force-Affiliated Persons in Litigation or Personnel Security Adjudicative Proceedings—NAC.** Legal counsels requiring access to classified information are subject to the investigative and clearance requirements of this regulation. In exceptional instances, where the exigencies of a given situation prohibit compliance with the appropriate provisions of this regulation, access

may be given with the written approval of HQ USAF/CV (see paragraph 6-32 for procedures). The following requirements must be met before approval:

a. HQ AFOSI personnel must obtain a favorable name check of the FBI files and the DCII.

b. The legal counsel concerned signs a Standard Form 189, Classified Information Nondisclosure Agreement.

**3-11. Certain Positions not Necessarily Requiring Access to Classified Information—NAC.** AFRs 125-37 and 207-1 outline the authority of military commanders to issue orders and regulations for the protection of property or places under their command according to the Internal Security Act of 1950. Essential to carrying out this responsibility is a commander's need to protect the command against the action of untrustworthy persons. Normally, the investigative requirements prescribed in this regulation for access to classified information should suffice to enable a commander to determine the trustworthiness of individuals whose duties require access to classified information or appointment to sensitive positions for reasons not involving access. However, certain position or duty categories, although not requiring access to classified information, could jeopardize the security of a command or otherwise critically endanger the national security if performed by untrustworthy persons. When an investigation is required on non-DOD military and civilian personnel to protect the security of a command, obtain a waiver through command channels from HQ AFOSP/SPI, Kirtland AFB NM 87117-6001 to authorize the investigation.

**3-12. Unescorted Entry To Restricted Areas—BI, NACI, DNACI, NAC, or ENTNAC:**

a. Note that the minimum investigative requirements for unescorted entry into restricted areas are dependent upon the category of personnel entering the area, their citizenship status, and the resources contained in the restricted area. The minimum investigative requirements for:

(1) US citizens and immigrant aliens: ENTNAC (military); NAC (contractors); and NACI (OPM federal civilians).

(2) Non-US nationals or foreign nationals: BI (Restricted Areas containing Priority A or B resources); or, LAC (Priority C).

(3) Foreign national military members assigned to US Air Force activities for support or training purposes may be granted unescorted entry providing a security assurance of favorable investigation is obtained, according to government-to-government or treaty, (NATO) agreements, or Unified Command (e.g., EUCOM) requirements.

NOTE: Possession of a restricted area badge does not imply a security clearance has been granted. Therefore, additional controls are needed within restricted areas to prevent unauthorized access to classified information or material.

b. Request BIs on non-US nationals or foreign nationals per attachment 10. Forward BI request forms directly to the servicing AFOSI District Office rather than to DIS.

**3-13. Secret Clearance—NACI, DNACI, NAC, or ENTNAC.** Either a favorably completed ENTNAC, NAC, or NACI fulfills the minimum investigative requirement for a Secret security clearance for US citizen military members, federal civilian employees, NAF employees, and OPM consultants (NACI is the minimum investigative requirement for a Secret clearance for federal civilian employees and OPM consultants). However, the DNACI investigation will become the investigative basis for a Secret clearance for military personnel, except first-term enlistees, upon implementation by DIS personnel. The DNACI also will become the investigative requirement for the NATO and PRP programs.

**3-14. Top Secret Clearance—BI or SBI.** Either a favorably completed BI or SBI fulfills the minimum investigative requirement for a Top Secret security clearance for US citizen military members, federal civilian employees, NAF employees, and OPM consultants. Request an SBI only in support of programs listed in section C.

**3-15. Category Two, Presidential Support Program—BI.** A favorably completed BI is required for personnel selected for Category Two Presidential Support duties. This requirement includes a NAC on the spouse and immediate family members of the subject, 18 years or over who are US citizens other than by birth or immediate family members who are resident aliens. The BI must have been completed within 12 months before selection for Presidential Support duties. Note that duties (separate and

distinct from Presidential Support responsibilities) of some Category Two personnel may require special access clearances necessitating an SBI.

**3-16. Personnel Security Clearance Adjudication Officials—BI.** Any person selected to serve with a board, committee, or other group responsible for adjudicating personnel security cases must be the subject of a favorably completed BI. AFSCO personnel and Security Review and Adjudication Panel members are examples of security adjudication officials.

**3-17. Persons Requiring DOD Building Passes—NAC.** DOD Directive 5210.46 (copies available through normal publishing channels) cites a NAC (ENTNAC for enlisted military personnel) as the minimum investigation for each person having an official need for access to DOD buildings in the National Capital Region. The NAC will be completed before the issuance of a DOD building pass.

**3-18. Programs Requiring AFOSI-Conducted Agency Checks.** An agency check may be requested when persons listed below do not possess a valid security clearance and an investigation is not authorized. Send requests by letter to HQ AFOSI/IVOS, Bolling AFB DC 20332-6001, listing identifying data and the reasons for the request. The following categories may require an AFOSI-conducted agency check:

a. **Historical Researchers.** Submitted by the AFSCO personnel at the request of SAF/OI personnel.

b. **National Security Forum and Air University (AU) Board of Visitors.** Submitted by AU/SP personnel at the request of the Chief, National Security Forum or AU Board of Visitors.

c. **Applicants for Air Force Junior ROTC (AFJROTC) Instructor Duty.** Submitted by 3800th Security Police Squadron personnel, at the request of AFJROTC personnel.

NOTE: The categories listed above are not inclusive.

**3-19. Mobilization of Military Retirees.** The requirements in paragraph 3-3 regarding a full NAC upon reentry to active duty after a break of more than 1 year or more will be waived at the discretion of the Secretary of the Air Force (or designee) for the purposes of partial or full mobilization under provisions of 10 U.S.C. to

AFR 205-32 26 June 1987

27

include the period of prescribed refresher training. Priority should be afforded to military retirees mobilized and assigned to defense intelligence and security agency communities.

### Section B—Periodic Reinvestigations

**3-20. Access To Top Secret.** Each individual requiring frequent access to Top Secret whose BI or SBI is 5 years old or older will be the subject of recurring PRs at 5-year intervals. Some personnel associated with sensitive programs require a PR regardless of recurring access requirements.

**3-21. NATO Assignments.** Incumbents of NATO positions with Cosmic Top Secret and Cosmic Top Secret ATOMAL access require a PR every 5 years. Incumbents of NATO positions with NATO Secret clearances require a new NAC every 5 years.

**3-22. Federal Civilian Personnel Occupying Critical Sensitive Positions.** Each Air Force federal civilian occupying a critical sensitive position requires a PR every 5 years.

**3-23. Nuclear Weapons Personnel Reliability Program.** Each person, military or civilian, assigned to a critical PRP position requires a PR every 5 years.

### 3-24. Immediate Supervisory Review of DD Form 398 for a PR:

a. Immediate supervisors must review DD Form 398, Personnel Security Questionnaire (PSQ), used to request a PR to determine if any known relevant personnel security information has been omitted from the completed form. This review must be completed even when the immediate supervisor is geographically separated from the subject. Exceptions are authorized for MAJCOM, SOA, and DRU Commanders in Chief reporting directly to the Chief of Staff, HQ USAF. The following actions are required:

(1) After the subject completes the PSQ, the immediate supervisor reviews the DD Form 398 to determine, to the best of his or her knowledge, if the subject excluded available unfavorable personnel security information. Refer to attachment 5, for examples of unfavorable information.

(2) If the immediate supervisor is unaware of any unfavorable information, he or she signs a statement to that effect in item 18, "Remarks" section of the PSQ. Use the following

statement: "I am not aware of any information of the type contained in AFR 205-32, attachment 5, relating to the subject's trustworthiness, reliability, or loyalty which may reflect adversely on his or her ability to safeguard classified information. Signature \_\_\_\_\_ Date \_\_\_\_\_"

(3) If the immediate supervisor is aware of unfavorable information, he or she must include the following information in item 18 of the PSQ: "I am aware of information of the type contained in AFR 205-32, attachment 5, relating to the subject's trustworthiness, reliability or loyalty. This information may reflect adversely on his or her ability to safeguard classified information. I have reported all relevant details to the appropriate security official. Signature \_\_\_\_\_ Date \_\_\_\_\_"

b. The immediate supervisor must review and sign the completed, final copy of the PSQ (DD Form 398) used to request a PR from DIS.

c. The immediate supervisor reports any unfavorable information to the security manager, who reports the unfavorable information to his or her commander.

d. The commander:

(1) Determines the appropriateness of establishing a Special Security File according to chapter 8;

(2) Cancels the processing of the PR request if the information warrants the establishment of an SSF; and

(3) Submits the unfavorable information along with the PR request to the AFSCO through the authorized requester for review if an SSF is not required.

e. AFSCO personnel either establish an SSF or submit the PR request with any known unfavorable information to DIS, whichever is appropriate.

f. DIS personnel will initiate and expand the investigation, as appropriate, and return the completed PR to AFSCO for adjudication.

### Section C—Authorized Reasons for Requesting an SBI

**3-25. General Information.** An SBI request is honored only when requested in support of programs listed in this section. If an SBI is required for other purposes, obtain prior approval for the request through command channels from HQ AFOSP/SPI, Kirtland AFB NM 87117-6001.

**3-26. Sensitive Compartmented Information (SCI).** An SBI is the investigative requirement

for SCI access. This requirement includes a NAC on the spouse or cohabitant and each immediate family member of the subject, 18 years or older who are not native US citizens or immediate family members who are resident aliens. If an individual marries or cohabitates after the completion of the SBI, the required spouse check is requested at that time, unless previously conducted.

**3-27. Single Integrated Operation Plan—Extremely Sensitive Information (SIOP-ESI).**

An SBI is the investigative requirement for SIOP-ESI access. This includes a NAC on the spouse or cohabitant and each immediate family member of the subject, 18 years or older who are not native US citizens or immediate family members who are resident aliens. If an individual marries or cohabitates after the completion of the SBI, the required spouse check is requested at that time, unless previously conducted.

**3-28. Category One, Presidential Support Program.** Personnel nominated for Category One, Presidential Support duties require a favorably completed SBI. This includes a NAC on the spouse or cohabitant and each immediate family member, 18 years or older who are not native US citizens or immediate family members who are resident aliens. The SBI must have been completed within 12 months preceding selection for Presidential Support duties. If an individual marries or cohabitates after the completion of the SBI, the required spouse check is requested at that time.

**3-29. Air Force Office of Special Investigations (AFOSI) Personnel.** Agents and support personnel assigned to AFOSI require a favorably completed SBI. This includes a NAC on the spouse or cohabitant and each immediate family member of the subject, 18 years or older who are not native US citizens or immediate family members who are resident aliens. If an individual marries or cohabitates after the completion of the SBI, the required spouse check is requested at that time, unless previously conducted. SBIs on AFOSI personnel are requested by HQ AFOSI/IMF.

**3-30. Air Force Personnel Assigned To DOD Courier Service.** Air Force Personnel selected for DOD Courier Service duty require an SBI. This includes a NAC on the spouse or

cohabitant and each immediate family member of the subject, 18 years or older who are not native US citizens or immediate family members who are resident aliens. If an individual marries or cohabitates after the completion of the SBI, the required spouse check is requested at that time, unless previously conducted.

**3-31. Special Access Programs.** Certain special access programs require a favorably completed SBI. This includes a NAC on the spouse or cohabitant and each immediate family member of the subject, 18 years or older who are not native US citizens or immediate family members who are resident aliens. If an individual marries or cohabitates after the completion of the SBI, the required spouse check is requested at that time, unless previously conducted. An SBI is authorized only for a special access program approved by the Secretary of the Air Force (SAF/AA). Further, the SBI requirement must be coordinated with Deputy Under Secretary of Defense for Security Policy (ODUSD(P)) to ensure DIS honors SBI requests associated with the special access program. Base authorized requesters of investigations may submit SBI requests only for SAF/AA-approved special access programs. If a local determination cannot be made concerning an approved special access program, contact HQ ASOSP/SPI through command channels for guidance.

**Section D—Military Appointment and Enlistment Investigative Requirements**

**3-32. General Information.** The appointment, enlistment, and induction of each member of the Air Force or its reserve components require investigation. The types of investigation required are outlined in this section.

**3-33. Enlistment Requirements:**

a. An Entrance National Agency Check must be conducted on each enlisted member of the Air Force and its reserve components at the time of initial entry.

b. All derogatory information revealed during the enlistment process that results in a moral waiver must be fully explained in a written summary attached to the DD Form 398-2, National Agency Check Request.

c. A full NAC is required upon reentry into service when there has been a break in service greater than 12 months.

**3-34. Commissioned Officers:**

a. At a minimum, a NAC must be conducted on each commissioned officer at the time of appointment, except as permitted in b below. If an officer candidate was the subject of a previous favorable SBI, BI or NAC, and did not have a break in service greater than 12 months, a new NAC is not authorized. An ENTNAC is not authorized for commissioning.

b. Investigative requirements for commissioning require rigid adherence, except as follows: health professionals, chaplains, and attorneys may be commissioned in the Reserve components before completion of a NAC provided:

(1) A NAC is initiated at the time the application for a commission is received; and

(2) The applying health professional, chaplain, or attorney agrees in writing that if the results of the investigation are unfavorable he or she will be subject to discharge if found to be ineligible to hold a commission. Under this exception, commissions in Reserve components other than the National Guard may be offered to immigrant alien health professionals, chaplains, and attorneys.

**3-35. No Evidence of Clearance in PDS:**

a. Military Enlistment Processing Station (MEPS) personnel submit ENTNAC requests (NAC for prior service enlistees) for individuals enlisting in the regular Air Force. When personnel arrive at basic military training (BMT) without a requested or completed ENTNAC or NAC, the 3507 ACS at Lackland AFB initiates the appropriate investigation. When active duty personnel arrive at their first permanent duty station without evidence of an initiated or completed ENTNAC or NAC in the ASCAS, the base authorized requester of investigations must initiate an ENTNAC or NAC, as appropriate. The commander, normally through the security manager, must identify those individuals requiring the investigation.

b. ENTNAC requests for USAFR members or applicants are initiated by the individual's Reserve organization. ENTNAC requests for ANG members or applicants are initiated by the appropriate air or detachment commander in accordance with ANGR 39-09.

c. Requests for investigation on Individual Mobilization Augmentees (IMA) are submitted by the unit of attachment. A NAC is required upon reentry when there is a break in service greater than 12 months.

d. Reserve Officer Training Corps (ROTC) graduates who delay entry on active duty pending completion of further college study are not authorized a new NAC once they have been commissioned. AFSCO personnel will reissue the clearance when the officer comes on active duty after completing further study. In requesting recertification for such cases, the requesters must include enough information and cite this paragraph as reference to allow prompt AFSCO action.

e. AFRES and ANG members entering the regular Air Force do not require a new investigation unless a break in service has occurred which exceeds 12 months or if the member will be assigned to PRP duties. Neither AFRES nor ANG service is considered active service for PRP purposes. Request recertification of investigations and clearances for less than 12 months break in service from AFSCO using PTI 41B tracer transactions.

f. AFRES and ANG members in a participating status are in active service for the purpose of determining if a prior investigation is valid for clearance purposes. An exception to participating status occurs when an individual participates by taking ECI courses and there is no physical association with a Reserve unit. A prior investigation is not valid for PRP purposes if the member was assigned to the AFRES or ANG for more than one year prior to reenry on active duty.

g. An ENTNAC may be requested only on first-term enlistees in conjunction with their enlistment.

**Section E—Procedures for Air National Guard (ANG) Personnel**

**3-36. General Information.** ANG personnel are subject to this regulation. Members of the ANG are concurrently members of a state organization, the Air National Guard of the United States (ANGUS), and a Reserve of the Air Force (10 U.S.C. 101). The President of the United States appoints ANG officers as Reserves.

**3-37. Security Clearances for ANG State Employees.** State, county, municipal, and local government employees are not authorized a Department of Defense (Air Force) security clearance or access to classified defense information through the Air Force Personnel Security Program.

**3-38. Authority for Access to Classified Defense Information.** Heads of DOD components must designate appropriate officials to determine beforehand if the release of classified information serves the interest of national security. Within the Air Force, the Vice Chief of Staff (CV), HQ USAF, authorizes access. Send requests through channels to HQ AFOSP/SPI, Kirtland AFB NM 87117-6001, at least 120 days calendar days before the intended access. Refer to DOD 5200.1-R/AFR 205-1 for complete guidance concerning the release of classified information to persons outside the Executive Branch and the federal government.

NOTE: Refer to paragraph 6-33 for guidance concerning access for retired general officers.

**3-39. Program Applicability.** The PSP applies to the following categories of ANG personnel: air technicians occupying excepted civil service positions; Active Guard Reserve (AGR) personnel on tours under 32 U.S.C.; personnel on tours under 10 U.S.C.; personnel currently in the ANG of a state; civilian air technicians employed under 32 U.S.C. in competitive positions; and civilian personnel employed by the ANG under 5 U.S.C. in competitive positions.

**3-40. Requesting Personnel Security Investigations:**

a. Except as noted, ANG flying unit chiefs of security police review and submit all requests for personnel security investigations for their unit and supported non-flying units to DIS. ANG permanent field training sites: Det 1 Michigan ANG, Selfridge ANG Base MI; and Operating Location AB, Colorado ANG, Buckley ANGB CO will submit requests directly to DIS.

b. The member's unit security manager or other designated individual prepares forms required for the investigation and sends them to the unit chief of security police (CSP) for review and final processing. The security manager or individual designated rather than the security manager makes required corrections.

**3-41. Processing Unfavorable Personnel Security Investigations:**

a. When a completed DIS report of investigation (ROI) on an ANG member, other than a commissioned officer, is unfavorable, AFSCO personnel will send the report to the State Executive Support Staff Officer (ESSO) for a

determination of the member's suitability for further ANG service or employment.

(1) When the member is determined unsuitable for further ANG service, the ESSO returns the ROI to AFSCO with a notice of action taken or contemplated.

(2) When the member is determined suitable for further ANG service, the ESSO returns the ROI to the AFSCO with any local relevant information and a recommendation concerning the feasibility of granting the individual a security clearance. AFSCO's determination to grant the clearance is based on the criteria in paragraph 1-7 and the recommendation of the commander, provided the recommendation addresses the issues raised in the investigation and is fully documented.

b. If the DIS ROI on a commissioned officer is unfavorable, AFSCO personnel will forward the ROI to NGB/MP, Wash DC 20310-2500 for a determination of suitability for further service.

(1) When the member is unsuitable for further service, return the ROI to AFSCO with a notice of action taken or contemplated.

(2) When the individual is suitable for further service, NGB/MP returns the ROI to AFSCO with a recommendation concerning the feasibility of granting the individual a security clearance. AFSCO's determination to grant the clearance is based on the criteria in paragraph 1-7 and the recommendation of the NGB/MP, provided the recommendation addresses issues raised in the investigation and is fully documented.

**3-42. Security Clearances and Special Security Files (SSF).** Only AFSCO can grant, deny, or revoke a security clearance pertaining to an ANG member. The decision to grant, deny, or revoke a security clearance of an ANG member is made only after a suitability determination has been completed, as described above. The DIS ROI is privileged information and must not be disclosed or discussed with anyone who is not directly involved in the determination of suitability of an ANG member. Process SSFs according to chapter 8 of this regulation. The State ESSO keeps SSFs.

**Section F—Civilian Personnel—Position Sensitivity Designations**

**3-43. Designation of Civilian Positions.** Certain civilian positions within the Air Force and Department of Defense entail sensitive duties including access to classified information. The

AFR 205-32 26 June 1987

31

misconduct, malfeasance, or nonfeasance of an incumbent in any such position could unacceptably and adversely impact the national security. These positions are referred to in this regulation as sensitive positions. In the interests of national security, great care must be exercised in selecting individuals to fill such positions. Similarly, it is important to designate only positions which truly meet the criteria as sensitive.

**3-44. Critical Sensitive, Noncritical Sensitive, and Nonsensitive Positions.** Each civilian position within the Air Force is categorized, with respect to security sensitivity, as either critical sensitive, noncritical sensitive, or nonsensitive. Criteria for designating position sensitivity (also see figure 3-1):

**a. Critical Sensitive:**

- (1) Access to Top Secret information.
- (2) Development or approval of plans, policies, or programs that affect the overall operations of the Department of Defense or its components.
- (3) Development or approval of war plans, plans or particulars of future major or special operations of war, or critical and extremely important items of war.
- (4) Investigative and certain investigative support duties, issuance of personnel security clearances or access authorizations, or the making of personnel security determinations.
- (5) Fiduciary (e.g., contracting officers, etc.), public contact, or other duties demanding the highest degree of public trust.
- (6) Duties falling under special access programs.
- (7) Automated data processing one (ADP-1) program positions as defined in attachment 11.
- (8) Any other position so designated by the Secretary of the Air Force or designee.

**b. Noncritical Sensitive:**

- (1) Access to Secret or Confidential information.
- (2) Security police-type duties involving the enforcement of law and security duties relating to the protection and safeguarding of Air Force personnel and property.
- (3) Automated data processing two (ADP-2) program positions as defined in attachment 11.
- (4) Duties associated with the education and orientation of DOD personnel.

(5) Duties involving the design, operations, or maintenance of intrusion detection systems deployed to safeguard DOD personnel and property.

(6) Any other position so designated by the Secretary of the Air Force.

(7) Unescorted entry to restricted or other sensitive areas designated by the commander.

**c. Nonsensitive.** All positions not designated critical sensitive or noncritical sensitive are designated as nonsensitive.

**3-45. Authority to Designate Sensitive Positions.** Authorities listed below must designate the position sensitivity of each position within their jurisdiction and maintain these designations current vis-a-vis the specific duties of each position. The authority to designate a position as sensitive is limited to commanders at any level of command. This authority may be further delegated by commanders to deputies, chiefs of staff, staff agency chiefs, directors, or persons in comparable levels of authority.

**3-46. Limitation of Sensitive Positions.** Authorities who designate sensitive positions must ensure positions designated as sensitive meet the criteria of paragraph 3-44 and designation of sensitive positions is held to a minimum consistent with mission requirements. Designating authorities must maintain an annual accounting of the number of sensitive positions by category and specific designation criteria. The unit ASCAS roster may be used for this purpose.

**Section G—Civilian Personnel—Investigative Requirements**

**3-47. General Information.** The appointment of each civilian employee in the Air Force is subject to investigation, except for reappointment when the break in employment is less than 12 months. The type of investigation required is outlined in this section according to position sensitivity (see figure 3-1).

**3-48. Investigative Requirements for Nonsensitive Positions.** Request a NACI not more than 3 workdays after an individual is appointed to a nonsensitive position. There is no investigative requirement for per diem, intermittent, temporary or seasonal employees in nonsensitive positions.

# OPENING CHARTS FOR CIVILIAN INVESTIGATIONS AND REOPENING CHARTS FOR MILITARY AND CIVILIAN INVESTIGATIONS

## CIVILIAN PERSONNEL SECURITY INVESTIGATIVE REQUIREMENTS

### PART A—ACCESSIONS

#### SECTION 1. Investigative Requirements for Appointment To Sensitive Positions Regardless of the Type and Length of Appointment and To Nonsensitive Positions for a Period of More than 6 Months:

Position Sensitivity per para 3-44	Investigative requirement	Preappointment requirement	In case of emergency, appointee may enter on-duty.
Critical Sensitive	BI with satisfactory results	BI with satisfactory results	Upon completion of NAC and after request for BI.
Noncritical Sensitive	NACI with satisfactory results (see note 2)	NACI requested and advance NAC completed	After request for NACI but before its completion.
Nonsensitive	NACI requested within 3 workdays of entry on duty	None unless directed by commander	N/A

#### SECTION 2. Investigative Requirements for Appointment To Nonsensitive Positions of 6 Months or Less:

a. The scope of the investigation will be based on circumstances and duties involved as determined by the persons authorized in attachment 6, paragraph G. Normally it will not exceed a check of references and local agencies.

b. Appointments for more than the designated period (6 months) or extension of appointment beyond this period are subject to appropriate investigations as described in section 1 above. Chiefs of civilian personnel make decisions in this regard in accordance with current OPM requirements.

### PART B—CHANGES

SECTION 3. Changes in Sensitivity of Filled Positions. If the position an employee is officially assigned to is sensitive or if it is redesignated sensitive, the employee may be retained in the position pending completion of any required investigation. Apply the portion of Section 4 below for position change appropriate for the new designation in determining additional investigative requirements of the assignment.

SECTION 4. Position Change. Investigative requirements for employees currently employed in Air Force positions who are being assigned to another position:

Position Sensitivity per para 3-44	Complete investigative requirements	Assignment may be affected.
Critical Sensitive	BI (see note 1)	After a BI has been requested and a NACI has been previously completed.
Noncritical Sensitive	NACI (see note 2)	Upon completion of NAC portion of a NACI.

Figure 3-1. Summary of Investigative Requirements for US Citizen Applicants and Employees.

AFR 205-32 26 June 1987

33

## NOTES:

1. Another BI is not required when an incumbent of a critical sensitive position is placed in a less sensitive assignment and subsequently reassigned to a critical sensitive position, provided the prior investigation results were favorable and no unfavorable information has been subsequently developed. A PR is required when a prior BI or SBI is 5 years old or older.
2. If the incumbent already has a favorable NACI (this should be the status), do not request an additional investigation.

Figure 3-1. Continued.

**3-49. Investigative Requirements for Noncritical Sensitive Positions:**

a. A NACI must be requested and the NAC portion favorably completed before an individual can be appointed to a noncritical sensitive position (for exceptions see paragraph 3-51).

b. A NAC (DNACI when implemented) is required for seasonal employees, including summer hires, requiring access to Confidential or Secret information. Submit NAC requests to DIS on DD Form 398-2 and enter "SH" in red letters approximately 1-inch high on the left top corner of the form. Assemble summer hire requests for NACs or DNACIs and forward them to the DIS in bundles to expedite processing.

c. The local Civilian Personnel Office (CPO) requests NACI investigations and completes SF 85 and SF 87 according to instructions in FPM Supplement 296-33. Information on the forms must be typed.

d. Requests for NACI investigations are made by submitting an original and one copy of Standard Form (SF) 85, Data for Nonsensitive or Noncritical Sensitive Position; one copy of an SF 87, US Civil Service Commission Fingerprint Chart; and an SF 171, Personal Qualifications Statement (refer to tables 3-1 and 3-2 for form requirements). Include "THRU AFSCO, Washington DC 20330-6440" in item 20 of SF 85. Mail these forms to:

Office of Personnel Management  
Bureau of Personnel Investigations  
NACI Center

Boyers, Pennsylvania 16018-0001

Stamp the notation "ALL REFERENCES" immediately above the title at the top of SF 85.

e. Upon completion of the NACI investigation by OPM, AFSCO personnel record favorable results through ASCAS, and mail the SFs 85 and 171, stamped by OPM, to the requesting CCPO, through the local SP authorized requester. NOTE: Do not confuse forms used to document a completed NACI with forms used

to request a NACI which are sometimes returned to the requesting base for additional information.

**3-50. Investigative Requirements for Critical Sensitive Positions:**

a. A favorable BI or SBI, as appropriate, must be completed before appointment to a critical sensitive position (for exceptions see paragraph 3-51). Certain critical sensitive positions require a preappointment SBI according to section C of this chapter. DIS personnel conduct preappointment BIs and SBIs. Do not request a NACI from OPM when a BI or SBI is required for appointment. Upon completion of the BI or SBI by DIS, AFSCO personnel record favorable results through the ASCAS to the unit of assignment.

b. Investigations containing significant unfavorable information are processed through the base authorized requester of investigations to the requesting organization commander for a suitability for employment determination.

**3-51. Waiver of Preappointment Investigative Requirements:**

a. **General Requirements for Sensitive Positions.** Sensitive positions may be filled for a limited period by a person who has not been the subject of a preappointment investigation. Unless stated otherwise in a host-tenant agreement, the Air Force commander (or designee) who has position sensitivity designation authority over the position in question determines if an emergency exists. The determination signed by the commander or the official designated by the commander is filed in the SF 66, Official Personnel Folder (OPF), as a temporary document.

(1) If access to classified information is required, an interim clearance must be obtained before authorizing the access.

(2) If access to classified information is not required, the supervisor of the position provides the emergency granting official with procedures for precluding an uncleared selectee from having

TABLE 3-1

## REOPENING CHART—ENTNAC, NAC, AND NACI (See note 1)

L I N E	A	B	C	D
	Type of request	Entries on DD Form 398-2	Entries on SFs 85/171	Type of action
1	Reopen ENTAC	Complete all items. Check Item 13, "Other" and enter "Reopen ENTNAC" below it. (AFSCO will provide reason for reopening.)		Attach all previously submitted ENTNAC papers received from AFSCO (if any received.)
2	Reopen NAC for FBI-ID(T) Check (Technical Fingerprint Check).	Complete Items 1 thru 9 plus enter the statement "Reopen NAC for FBI-ID(T)" in Item 13, "Other".		Attach new FD Form 258 fully completed plus the incomplete NAC papers received from AFSCO (if any received).
3	Reopen NAC for any other agency check.	Complete all items. Specify reason for reopening plus agency that requires checking in Item 13, "Other." (AFSCO will provide reason and agency name that needs checking).		Attach all previously submitted NAC papers received from AFSCO (if any received).
4	NACI for retake of fingerprints (see note 2).		No entry. Send back to OPM with new SF 87.	Attach one SF 87 fully completed. Send the SFs 85 and 171 if received from OPM (see note 3).

## NOTES:

1. CCPOs reopen NACIs for reasons other than new fingerprints. The base authorized requester of investigations reopen for fingerprints.
2. Requests for retake of fingerprints on NACI come only from the NACI Center. Use this chart and notes as a reminder of action required.
3. OPM transmits requests for new prints via a form letter to agencies indicated in item 6 of SF 85. The CCPO must immediately request new prints. SF 171 and SF 85 received with a request for new prints indicates the NACI center has stopped actions on the case. It also indicates the base agencies have not acted in time to get new prints to OPM (or have not met the OPM suspense).
  - a. SF 171 and SF 85 returned to the base by AFSCO means the case is adjudicated; file the forms in the OPF.

b. OPM Form 45 returned to the base by the NACI center means the case has not been opened because of missing or incomplete data or for illegible fingerprints. Fingerprints and missing data returned with this form indicate insufficient quality control at the agency originating the request action.

c. CCPO and SP personnel must read all transmitted form letters they receive thoroughly to understand what action is required. When action is required by the base, such as new prints or added personal data, take action quickly to return such information in the mail. If the action requires filing documents in the OPF, the same urgency is not mandatory; however, the intent of the transmittal letter must be understood to prevent prints, and so forth, being mailed out when not required.

TABLE 3-2

## REOPENING CHART—NAC TO COMPLETE BI OR SBI

L I N E	A	B	C	D
	Type of request	Entries on DD Form 398-2	Entries on DD Form 1879	Type of action
1	Reopen BI/SBI for FBI-ID Technical Fingerprint Check.	Complete Items 1-8 plus 13. Check "Other" in Item 13 and enter "Reopen" for FBI-ID(T)."	Fully completed except Items 17 & 18. Enter "Reopen for FBI-ID(T)" in Item 20.	Attach DD Form 398-2 plus new FD Form 258 fully completed.
2	Reopen BI/SBI for an incomplete check of any other agency except FBI-ID.	Complete all items. Check "Other" in Item 13 and specify agency that requires checking. AFSCO will provide the agency requiring a check.	Fully completed except Items 17 & 18. Specify the reasons for reopening and the agency to be checked in Item 20. AFSCO provides the reason and identifies the agency requiring a check.	Attach DD Form 398-2.
3	Reopen SBI when NAC concerning a family member is incomplete or was not done.	Complete Items 1-18. In Item 10, list the name, SSN, and relationship to the subject of the SBI.	Fully completed except Items 17 & 18. Specify the reasons for reopening and the agency to be checked in Item 20. AFSCO provides the reason and identifies the agency requiring a check.	Attach DD Form 398-2.
4	Reopen SBI when INS check concerning a family member is incomplete.	Complete Items 1-8 plus 10. In Item 10, list the name, SSN, and relationship to the subject of the SBI (see note).	Fully completed except Items 17 & 18. Specify reason for reopenings in Item 20. AFSCO provides the reason for the check.	Attach DD Form 398-2 concerning family member.

NOTE: Item 8 must be fully completed. If the family member claims derivative citizenship, list that family member's parents in Item 10 also.

access to classified information through restructuring the individual's duties or the work area.

**b. Requirements for Critical Sensitive Positions.** In an emergency, a critical sensitive position may be occupied before the BI (or SBI, as appropriate) is completed and provided the head of the requesting organization determines a delay in appointment would harm the national security. However, the NAC portion of the BI (or SBI, as appropriate) must be completed and favorably adjudicated before the incumbent's appointment. The determination of an emergency must be documented as a temporary part of the employee's record.

**c. Requirements for Noncritical Sensitive Positions.** In an emergency, a noncritical sensitive position may be occupied before the NAC portion of the NACI is completed, provided the commander or head of the requesting organization determines a delay in appointment would harm the national security. However, the NACI must be requested prior to the incumbent's

appointment. The determination of an emergency is documented as a temporary part of the employee record.

**d. Sensitive Positions Requiring Interim Clearances.** When an interim security clearance is also required for an emergency appointment of an individual to a sensitive position, request the clearance from AFSCO using the ASCAS tracer format, letter, or message. Regardless of the method used, the information required in figure 10-2 must be submitted with the name, grade, and position of the individual who granted the waiver or exception to the preappointment investigative requirements, the date it was granted, and the position sensitivity designation. A copy of this waiver or exception must be retained in the individual's OPE as a temporary document until a final clearance is granted.

**3-52. Investigative Requirements for Temporary, Seasonal, and Non-US National Employees.** A lesser investigation is authorized for

non-US citizens appointed to nonsensitive positions of 3 months or less in overseas locations, and 6 months or less in the United States, District of Columbia, Puerto Rico, Virgin Islands, and Johnson Island. The investigation must be consistent with circumstances and duties involved in the position, as determined by the hiring unit commander. Normally, it will not exceed a check of references and local police agencies, if authorized or applicable. The local CPO arranges for the checks. The employee may enter on duty pending completion of the checks, unless otherwise directed by the unit commander. Appointments for more than the designated periods (3 or 6 months) or extension of appointment beyond the designated period require full applicable investigative requirements.

### **3-53. Incomplete OPM NACI Investigations:**

a. Normally, NACIs requested from OPM are not closed and sent to AFSCO unless at least three attempts have been made to obtain classifiable prints. When the OPM or the FBI reject fingerprints (NACIs only), return two fingerprint cards (SF 87) to OPM along with the rejected SF 87 and OPM transmittal form, annotate "2d Submission," or "3d Submission", as applicable, in the upper left corner of the SF 87 to document the number of times fingerprints have been submitted for a particular investigation. OPM will cancel the NACI investigation and return SFs 85 and 171 to the requestor if a new set of fingerprints are not received within 60 calendar days.

b. Include the SF 85 and SF 171 with the submission of new fingerprints when these forms are returned to the requester by OPM. If fingerprint cards are lost, the above procedures apply.

### **3-54. Mobilization of DOD Civilian Retirees.**

The requirements contained in chapter 3, section F regarding the type of investigation required by position sensitivity designation should be expedited or waived for the purposes of mobilizing selected reemployed annuitants under the provisions of 5 U.S.C., depending upon the degree of sensitivity of the position to which assigned. Particular priority should be afforded newly assigned personnel who support the defense

intelligence and security agencies with respect to granting security clearances in an expeditious manner.

## **Section H—Tracer Action for NACI Investigations**

**3-55. Tracer Action for Status of NACI.** When determining the status of a NACI investigation or determining if a prior NACI has been conducted and is valid, use the following guidance:

a. The CCPO requests the status of a NACI in progress via PTI 41B transaction to AFSCO. The time period for tracer submissions are published periodically by HQ AFOSP/SPI based upon OPM's investigation completion times.

b. When evidence of a prior NACI exists in the files, but the PDS has no record of it (and there has not been a break in service of more than one year), the CCPO provides that information or evidence to AFSCO via PTI 41B requesting issuance of a clearance via ASCAS. Include all identifying data and all stamped markings from the SF 171 located in the OPF, such as "Processed. . .," or "Results. . .," the stamped case number, and the completion date.

c. When no local evidence of a prior valid NACI exists, but an employee is certain one was conducted, the CCPO sends all available information indicating a prior NACI was conducted and all identifying data to AFSCO via PTI 41B. AFSCO requests verification of a prior investigation from OPM.

d. For OPM civilian initial hiring purposes, the CCPO may determine the existence of a prior NACI by calling the NACI Center, Security Investigation Index Branch, commercial phone 412-644-6572 or -6573. (This telephone check gives the CCPO the basis for hiring, if a prior usable investigation is on file. CCPO forwards the information to AFSCO via PTI 41B for clearance action as stated above.)

**3-56. No Evidence of Prior Investigation.** If no information concerning a valid NACI or higher investigation exists, requests a new NACI. When inquiring about prior investigations, provide OPM or AFSCO full identification data on the subject, including former names and case file numbers if known. If none are known, advise OPM or AFSCO.